

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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#3



FILING COMPLETION UNDER RULE 53(f)

(NOT PCT Applications)

For Design, Provisional, or Utility Applications

PATENT
APPLICATIONCOMPLETION Under
Rule 53(f)

In re PATENT APPLICATION of

Attn: Application Division

Inventor(s): NAGATA et al.

Appln. No.:

10

021,2299

Atty.Dkt.

P

190554

DDG32636USA-AT

Series Code ↑

Serial No. ↑

M#

Client Ref

Filed: December 19, 2001

Title: DIGITAL BROADCAST RECORDING/REPRODUCING APPARATUS

Hon. Commissioner of Patents
Washington, DC 20231

Date: February 12, 2002

Sir:

The following completes the filing under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts** ☒ copy attached ☐ not yet received
2. ☒ Signed Declaration attached. ☒ Original ☐ Facsimile/Copy

(Always "X" box 2 if filing signed Declaration and

"X" box 2A only if top box of the Declaration is X'd and file application copy, or"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A. ☐ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.
- 2B. ☐ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.
3. ☐ Specification originally filed in non-English language; hence verified translation attached of:
- a. ☐ Abstract
- b. # pages of Specification (only spec. & claims)
- c. ☐ Drawing(s) No of Sheets
- ☐ Fig(s).
4. ☐ Letter filing formal drawing attached.
5. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.
6. **DOMESTIC/INTERNATIONAL** priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

| Application No. | Filing Date | Application No. | Filing Date |
|-----------------|-------------|-----------------|-------------|
| (1) | | (2) | |
| (3) | | (4) | |
| (5) | | (6) | |

7. **FOREIGN** priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in JAPAN

| Application No. | Filing Date | Application No. | Filing Date |
|-----------------|-------------------|-----------------|-------------|
| (1) 2000-384742 | December 19, 2000 | (2) | |
| (3) | | (4) | |
| (5) | | (6) | |

9. 1 (No.) Certified copy (copies): ☒ attached; ☐ previously filed (date) _____
in U.S. Application No. 1 filed on _____
10. Small Entity Status ☐ ☒ is Not claimed ☐ is claimed (file PAT-256 if this is the first claim of Small Entity Status)
11. ☐ Attached:
12. ☐ Preliminary Amendment:

THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED

| | | | | Large/Small Entity | | Fee Code |
|--|----|------------|---|------------------------------------|--------------|----------|
| 13. Basic Filing Fee | | | | Design Application \$330/\$165 | | 106/26 |
| | | | | Not Design Application \$740/\$370 | +740 | 101/201 |
| 14. Total Effective Claims | 23 | minus 20 = | 3 | x \$18/\$9 | +54 | 103/203 |
| 15. Independent Claims | 1 | minus 3 = | 0 | x \$84/\$42 | +0 | 102/202 |
| 16. If <u>any proper</u> multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application) | | | | \$280/\$140 | +0 | 104/204 |
| 17. Surcharge for filing Declaration/filing fee late | | | | \$130/\$65 | +130 | 105/205 |
| 18. FILING FEE ENCLOSED = | | | | | \$924 | |
| 19. Original due date: March 16, 2002 | | | | | | |
| 20. Petition is hereby made to extend the original due date to | | | | (1 mo) \$110/\$55 = | +0 | 115/215 |
| cover the date this response is filed for which the requisite fee | | | | (2mos) \$400/\$200 = | | 116/216 |
| is attached | | | | (3mos) \$920/\$460 = | | 117/217 |
| | | | | (4mos) \$1,440/\$720 = | | 118/218 |
| 21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee | | | | \$130 | +0 | 139 |
| 22. If "assignment" box 5 is X'd, add recording fee. | | | | \$40 | +40 | 581 |
| 23. Petition Fee for | | | | \$130 | +0 | |
| 24. TOTAL FEE ENCLOSED = | | | | | \$964 | |

Our Deposit Account No. 03-3975

Our Order No. 9270 290554

C#

M#

CHARGE STATEMENT: The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Winthrop LLP
Intellectual Property Group**

1600 Tysons Boulevard
McLean, VA 22102
Tel: (703) 905-2000

By Atty: Glenn J. Perry

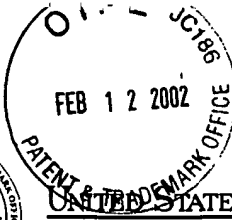
Reg. No. 28458

Sig: 

Fax: (703) 905-2500
Tel: (703) 905-2161

Atty/Sec: gjp/vaw

NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments



UNITED STATES PATENT AND TRADEMARK OFFICE

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#3
SECTION 5
COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|--------------------------|
| 10/021,299 | 12/19/2001 | Hiroyuki Nagata | P 290455 DDG32636-USA-AT |

00909
PILLSBURY WINTHROP LLP
1600 TYSONS BOULEVARD
MCLEAN, VA 22102

CONFIRMATION NO. 9327
FORMALITIES LETTER



OC00000007317669

Date Mailed: 01/16/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 870.

A copy of this notice **MUST** be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

02/13/2002 SDENBOB1 00000102 10021299

| | |
|-----------|-----------|
| 01 FC:101 | 740.00 DP |
| 02 FC:105 | 130.00 DP |
| 03 FC:103 | 54.00 DP |